

03-09-01

PATENT

0505-4002

Express Mail Label No.

EK677221415US

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J0520 U.S. PTO
09/801848
03/08/01

J1054 U.S. PTO
03/08/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY APPLICATION AND APPLICATION FEE TRANSMITTAL (1.53(b))

ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application

Washington, DC 20231

Sir:

Transmitted herewith for filing is the patent application of:

Named Inventor(s) and Address(es):

Christopher Keith

105 Hudson St. Apt. 5S, New York, NY 10013

For: PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS

Enclosed are:

☒ 122 pages of specification, 1 page of Abstract, 9 pages of claims 1-108

☒ 91 sheets of drawings ☒ formal ☐ informal

☒ 1 pages of Declaration and Power of Attorney

☐ unsigned ☒ newly executed ☐ copy from prior application

☐ Deletion of inventors including Signed Statement under 37 C.F.R. § 1.63(d)(2)

☐ Claim for Priority

☐ Certified copy of Priority Documents ☐ English translation

☐ Request for Non-publication and Certification Under 35 U.S.C. 122(b)(2)(B)(i)

☐ Information Disclosure Statement ☐ copy of cited references

☐ copy of PTO-1449 filed in parent application serial no. _____

☐ Preliminary Amendment

☒ Return receipt postcard

☒ Assignment papers (assignment cover sheet and assignment documents)

☒ a credit card authorization in the amount of \$40.00 for recording the Assignment

☐ Assignment papers filed in parent application serial no. _____

☐ Certification of chain of title pursuant to 37 C.F.R. § 3.73(b)

☒ This is a ☐ continuation ☐ divisional ☒ continuation-in-part (CIP)

of prior application serial no. 09/546,031

☐ Cancel in this application original claims ____ of the parent application before calculating the filing fee (at least one original independent claim must be retained for filing purposes).

☐ A Preliminary Amendment is enclosed, adding claims numbered consecutively after the highest numbered original claim in the prior application.

☒ The status of the parent application is as follows:

☐ A Petition For Extension of Time and proper Fee has been or is being filed in the parent application to extend the term for action in the parent application until _____.

☐ A copy of the Petition For Extension of Time in the co-pending parent application is attached.

☒ No Petition For Extension of Time is necessary in the co-pending parent application.

☐ Please abandon the parent application at a time while the parent application is pending or at a time when the Petition For Extension of Time in that application is granted and while this application is pending or has been granted a filing date, so as to make the application co-pending.

☐ Transfer the drawings from the parent application to this application.

☐ Amend the specification by inserting before the first line the sentence:

This is a ☐ continuation ☐ divisional ☐ continuation-in-part (CIP) of co-pending application serial no. _____ filed _____.

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CALCULATION OF APPLICATION FEE (For a Small Entity)

| | No. Filed | No. Included in Basic Fee | No. Extra | Rate per Claim | TOTAL |
|------------------------------|--------------|------------------------------|--------------|-------------------|-------|
| Basic Fee | | | | | 355 |
| Total Claims | 108 | 20 | 88 | 9 | 792 |
| Independent Claims | 2 | 3 | | 40 | |
| Multiple Dependent Claims | | | | 135 | |
| TOTAL | | | | | 1147 |

☒ Small Entity Status is claimed. Reduced fees under 37 C.F.R. § 1.9(f) are paid herewith.

☐ A check in the amount of \$ _____ in payment of the application filing fee is attached.

☒ A Credit Card Payment Form authorizing payment of \$ 1147.00 is attached.

Respectfully submitted,

Date: March 8, 2001

Brenda Pomerance
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Reg. No. 36,894

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Christopher KEITH

Filed : Herewith

Group Art Unit:

Examiner :

For : PLATFORM FOR MARKET PROGRAMS AND TRADING
PROGRAMS

EXPRESS MAIL CERTIFICATE

Express Mail Label No: EK677221415US

Date of Deposit: March 8, 2001

I hereby certify that the following attached paper(s) and/or fee

1. Application including 122 pg. specification, 1 pg. Abstract, 9 pg. claims 1-108
2. 91 sheets drawings, formal
3. Declaration, signed
4. Assignment, signed
5. Assignment Recordation Cover Sheet
6. Application Fee Transmittal
7. Credit card authorization form for \$ 1147. (application filing)
8. Credit card authorization form for \$40.00 (assignment recordation)
9. Return receipt postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to the Assistant Commissioner for Patents, Washington, DC 20231.


Brenda Pomerance

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